



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/866,936	05/29/2001	Deane Yang	Kalotay-1

CONFIRMATION NO. 6572

## FORMALITIES LETTER



\*OC00000006363879\*

Arthur L. Plevy, Esq.  
Duane, Morris & Heckscher LLP  
100 College Road West, Suite 100  
Princeton, NJ 08540

Date Mailed: 07/31/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

*Sadip*  
Customer Service Center

09/24/2001 MBERHE 00000014 09866936  
01 FC:105 130.00 OP

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

TOP SECRET

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Large Entity)**

Docket No.  
Kal tay-1

In Re Application Of: Yang et al.

SEP 21 2001

Serial No  
09/866,936

Filing Date  
May 29, 2001

Examiner  
Not Yet Assigned

Group Art Unit  
2164

Invention: HEDGE EFFECTIVENESS TEST

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on  
July 31, 2001  
Date

Enclosed herewith for filing are the following:

- ☒ A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). **(REQUIRED)**
- ☒ An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- ☐ A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- ☐ An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- ☐ A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- ☒ Other (list):

4 Sheets of Formal Drawings

**Response To Notice To File Missing Parts Of Application**  
**Filing Date Granted (PTO-1533)(Large Entity)**

Docket No.  
**Kalotay-1**

In Re Application Of: Yang et al  
**SEP 21 2001**

Serial No.  
**09/866,936**

Filing Date  
**May 29, 2001**

Examiner  
**Not Yet Assigned**

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**2164**

Invention: **HEDGE EFFECTIVENESS TEST**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

☒ Completion of application fees as calculated below:

- ☐ Utility application filing fee \_\_\_\_\_
- ☐ Design application filing fee \_\_\_\_\_
- ☐ Total number of independent claims = \_\_\_\_\_
- ☐ Total number of claims = \_\_\_\_\_
- ☐ Multiple dependent claims \_\_\_\_\_
- ☒ Surcharge for late payment of filing fee and/or late filing of original declaration or oath **\$130.00**
- ☐ Petition and fee for filing by other than all the inventors or a person not the inventor \_\_\_\_\_
- ☐ Fee for processing an application filed with a non-English language specification \_\_\_\_\_
- ☐ Fee for processing and retention of application \_\_\_\_\_
- Total completion of application fees **\$130.00**

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

☐ One month    ☐ Two months    ☐ Three months    ☐ Four months    ☐ Five months

from: \_\_\_\_\_ until: \_\_\_\_\_  
Date Date

Total time extension fees \_\_\_\_\_

Total fees due **\$130.00**

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Large Entity)**

Docket No.  
**Kalotay-1**

In Re Application Of: **Yang et al.**

**SEP 21 2001**

Serial No.  
**09/866,936**

Filing Date  
**May 29, 2001**

Examiner  
**Not Yet Assigned**

Group Art Unit  
**2164**

Invention: **HEDGE EFFECTIVENESS TEST**

**TO THE ASSISTANT COMMISSIONER FOR PATENTS:**

**Box Missing Parts**

The fee of **\$130.00** is to be paid as follows:

- ☒ A check in the amount of the fee is enclosed.  
☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. **04-1679**  
A duplicate copy of this sheet is enclosed.  
☒ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. **04-1679**  
A duplicate copy of this sheet is enclosed.

*Signature*

**Arthur L. Plevy  
Registration No. 24,277  
Duane Morris  
100 College Road West, Suite 100  
Princeton, NJ 08543  
(609) 919-4400**

Dated: **September 17, 2001**

I certify that this document and fee is being deposited on **September 17, 2001** with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

*Signature of Person Mailing Correspondence*

**Suzanne M. Zalot**

*Typed or Printed Name of Person Mailing Correspondence*

CC: